


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PTO/SB/05 (11-00)

Approved through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

Attorney Docket No. 265/221

First Inventor Mark A. Hamm and Robert J. Crowley

Title OPTICAL CATHETER CONNECTOR

Express Mail Label No. EL622503108US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 28]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10]
5. Oath or Declaration [Total Pages 38]
  - a. ☐ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
  - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
  8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
    - a. ☐ Computer Readable Form (CRF)
    - b. Specification Sequence Listing on:
      - i. ☐ CD-ROM or CD-R (2 copies); or
      - ii. ☐ paper
    - c. ☐ Statements verifying identity of above copies
- ### ACCOMPANYING APPLICATIONS PARTS
9. ☐ Assignment Papers (cover sheet & document(s))
  10. ☐ 37 C.F.R. §3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
  11. ☐ English Translation Document (if applicable)
  12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
  13. ☐ Preliminary Amendment
  14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
  15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
  16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
  17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information: Examiner \_\_\_\_\_

of prior application No: \_\_\_\_\_ /

Group / Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

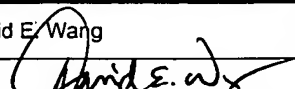
☒ Customer Number or Bar Code Label



22249

PATENT TRADEMARK OFFICE

or ☒ Correspondence address below

Name	Lyon & Lyon, LLP				
Address	633 West Fifth Street				
	47th Floor				
City	Los Angeles	State	CA	Zip Code	90071-2066
Country	USA	Telephone	949-567-2300	Fax	949-567-6600
Name (Print/Type)	David E. Wang		Registration No. (Attorney/Agent)	38,358	
Signature			Date	October 24, 2001	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

CERTIFICATE OF MAILING  
(37 C.F.R. §1.10)

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the United States Postal Service on the date shown below with sufficient postage as "Express Mail Post Office To Addressee" Express Mail Label No. EL622503108 in an envelope addressed to the Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

October 24, 2001  
Date of Deposit  
OC-93342.1

Frances E. Thurson

**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT** (\$) 1142 (not enclosed)

Complete if Known

Application Number	To Be Assigned
Filing Date	On Even Date Herewith
First Named Inventor	Mark A. Hamm and Robert J. Crowley
Examiner Name	To Be Assigned
Group / Art Unit	To Be Assigned
Attorney Docket No.	265/221

Jc932 U.S. PTO  
10/03/01  
10/24/01**METHOD OF PAYMENT (check one)**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

12-2475

Deposit  
Account  
Name

Lyon &amp; Lyon

- ☒
- Charge Any Additional Fee Required
- 
- Under 37 CFR 1.16 and 1.17
- 
- ☐
- Applicant claims small entity status.
- 
- See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other**FEE CALCULATION**

## 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

**SUBTOTAL (1)**

(\$ 740)

## 2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
33	-20 **	13	18
5	-3 **	2	84
			0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)**

(\$ 402)

**FEE CALCULATION (continued)**

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105	205	Surcharge - late filing fee or oath	
127	227	Surcharge - late provisional filing fee or cover sheet.	
139	139	Non-English specification	
147	2,520	For filing a request for reexamination	
112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	Requesting publication of SIR after Examiner action	
115	215	Extension for reply within first month	
116	216	Extension for reply within second month	
117	217	Extension for reply within third month	
118	218	Extension for reply within fourth month	
128	228	Extension for reply within fifth month	
119	219	Notice of Appeal	
120	220	Filing a brief in support of an appeal	
121	221	Request for oral hearing	
138	138	Petition to institute a public use proceeding	
140	240	Petition to revive - unavoidable	
141	241	Petition to revive - unintentional	
142	242	Utility issue fee (or reissue)	
143	243	Design issue fee	
144	244	Plant issue fee	
122	122	Petitions to the Commissioner	
123	123	Processing fee under 37 CFR 1.17 (q)	
126	126	Submission of Information Disclosure Stmt	
581	581	Recording each patent assignment per property (times number of properties)	
146	246	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	249	For each additional invention to be examined (37 CFR § 1.129(b))	
179	279	Request for Continued Examination (RCE)	
169	169	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

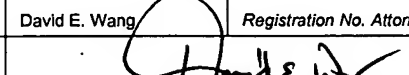
**SUBTOTAL (3)**

(\$ 0)

\*\*or number previously paid, if greater; For Reissues, see above

**SUBMITTED BY**

Complete (if applicable)

Name (Print/Type)	David E. Wang	Registration No. Attorney/Agent)	38,358	Telephone	949-567-2300
Signature		Date	October 24, 2001		

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